



Date: October 28, 2015

From: Acting Director, Center for Verification and Evaluation (CVE)

Subj: CVE Case trial Process Memo Rev 4

To: CVE Distribution

1. **Purpose:** To Promulgate Process Order of Verification Trial
2. **Background:** The CVE Verification Trial is ongoing. This memorandum establishes current process and responsible contractor/federal team entity tasked to carry out each task. Sub details should be established via codified Work Instruction (WI).
3. **Action:** Effective immediately the following major steps and associated responsible contractor for the trial will be used in the following order:
 - I. Temporary Initiation Intake [INTAKE]:
 - 1) BIRLS and EPLS check (until case managers have capability).
 - a) Send document request for BIRLS issues as necessary
 - b) Await document submission
 - c) 5 business day max wait time or withdraw case
 - 2) Assign cases to the case coordinator and update the assignment spreadsheet in the case status folder in SharePoint.
 - 3) Report total processing time and status of individual cases in case status folder in SharePoint by company name and DUNS.
 - II. Case Coordinator team [CC]:
 - 1) Oversees the movement of cases throughout all phases of the process. Helps teams prioritize daily work.
 - 2) Ensures the quality of the documentation of every step.
 - 3) Assigns cases from intake to the teams to ensure that all teams are working at optimum capacity.
 - 4) Documents when cases were assigned to the team (date/time) for processing, and the timing of the action.
 - III. Case Manager 1st phase [CM1]:
 - 1) BIRLS and EPLS check when capable.
 - a) Send document request for BIRLS issues as necessary
 - b) Await document submission
 - c) 5 business day max wait time or withdraw case

- 2) Assign new applications to the Business Analyst for pre-screening and public research.
- 3) Update VCMS to indicate the firm is part of the trial. Changes VCMS queue to L1.
- 4) Report total processing time and status of individual cases in case status folder in SharePoint by company name and DUNS.
- 5) Sends email at close of day (cut-off time determined by CC) to CC to confirm cases worked and current status.

IV. Business Analyst [BA]:

- 1) Review availability of Pre-Qualification Assessment (PQA) documents.
 - a) Send document request if necessary.
 - b) If all PQA documents available annotate in VCMS go to next step
- 2) Conduct public research upload to VCMS.
- 3) Assign completed applications back to the case manager.
 - a) If documents are requested, the BA then becomes the Case Manager for that firm going forward.
- 4) Report total processing time and status of individual in case status folder in SharePoint by company name and DUNS.

V. Case Manager 2nd phase [CM2]:

- 1) Conduct call to Veteran within 24 hours of prior step completion.
 - a) Explain process.
 - b) Explain reason for required documents.
- 2) Assign case to Assessor for PQA interview.
- 3) Report daily total processing time and status in case status folder in SharePoint by company name and DUNS.

VI. Assessor 1st phase [A1]:

- 1) Conduct PQA review.
- 2) Call Applicant for PQA briefing.
- 3) Develop PQA report and upload to 10.3.
- 4) Send PQA report to Applicant and annotate all in VCMS.
- 5) Applicants that do not meet PQA 38 CFR Part 74 requirements called and advised:
 - a) Discuss what the issues/red flags are with the Veteran and let him/her know that there is a 2 week [10 business days] window to revise the documentation and submit the remaining required documents to continue.
 - b) Withdraw if issues cannot be addressed within 10 business days.
 - c) Choose to continue for possible PDF/PDP.
 - d) Report status to case manager and case status folder in SharePoint.
- 6) Applicants that meet PQA 38 CFR Part 74 requirement:
 - a) Send document request for remaining required documents.
 - b) Notify CM of document request sent. Best practice: try to avoid sending document requests between 1500-1700 (unless company is on the west coast) in order to allow the CM to make the follow-up call within 4 hours of sending the request. Calls must be made during normal business hours.

- 7) Report all cases worked and current status to case manager via email at end of day (time specified by CM) and case status folder in SharePoint
- VII. Case Manager 3rd phase [CM3]:
- 1) Receive notification from Assessor that document request has been sent.
 - 2) Follow up request with phone call within 4 business hours [0800-1700]. If document request sent after 1700, call should be made by noon the following day.
 - 3) Await document submission.
 - 4) 10 business days maximum wait time.
 - 5) Follow up with Veteran after 5 business days if documents have not been submitted.
 - 6) After 10 business days without document submission resubmit to case manager for withdrawal.
 - 7) Screen all documents submitted by the Veteran to ensure all documents have been submitted, and that they are complete and ready for evaluation.
 - 8) Notify Assessor that all documents have been received and are ready for evaluation.
 - 9) Upon confirmation of the required documents by the Assessor, change the VCMS queue to EX to start the regulatory clock.
- VIII. Assessor 2nd phase for PQA positive assessments [A2]:
- 1) Receive notification from CM that all documents have been received and are ready for evaluation.
 - 2) Confirm complete documentation within 4 business hours of notification. Add a remark in VCMS noting confirmation, and send email to CM with confirmation.
 - 3) Conduct full evaluation of all documents according to established WIs and VCMS reporting requirements.
 - 4) Report status and recommendation to case manager and case status folder in SharePoint.
 - 5) If full evaluation findings do not meet intent of 38 CFR Part 74 conduct phone call to explain to applicant issues remaining.
 - a) Additional documents may be requested on **all** finding issues as appropriate (PDF format) to attempt to clear issue (follow current WI on PDF).
 - b) Issues not cleared will follow final PDF process notification.
 - 6) Assign and report status to case manager and case status folder in SharePoint.
- IX. Case Manager 4th phase [CM4]:
- 1) Review draft recommendation letter for grammar and style, and make administrative edits as necessary.
 - 2) Inform CC that the case is ready for Federal Review.
- X. Case Coordinator 2nd phase [CC2]:
- 1) Receive list of completed cases from Case Managers.
 - 2) Forward to Federal review case manager for assignment.
 - 3) Assign case to "Federal Review" queue in VCMS.

- 4) Inform Evaluator Case Coordinator and Evaluation Team Lead and Deputy Team Lead
 - 5) Upload status report to case status folder in SharePoint
- XI. Federal Review [FR]:
 - 1) Follow WIs as directed.
 - 2) Report status and recommendation to case manager and case status folder in SharePoint.
 - 3) Assign case to Determination team at present.
 - a) This process may cease in final form of trial process.
 - b) Will remain until trial process finalization.
- XII. All steps and documents uploaded in VCMS.
- XIII. All steps and assigned trial workers maintain personal spreadsheet updated with current status.
- XIV. Contractors to reconcile spreadsheets by COB daily.
- XV. Contract process managers to report individual case status to Executive Team daily by 1700.
- XVI. Total process metrics reported weekly via case status folder by both contractors regarding total processing times and case metrics.
- XVII. All discrepancies and process issues will be resolved at the lowest level or elevated to the CVE Executive Team. Contracting Officer's Representatives (COR) and the CVE Executive Team will be informed of any potential or actual contract issues.
- XVIII. Exit points:
 - 1) At the Case Manager level - the applicant says this is not for them and they do not want to move forward. The firm is withdrawn by the case manager IAW the WI.
 - 2) At the Assessor level during PQA - the assessor sends out the document request but then the applicant never responds - process going forward:
 - a) Assessor will send the document request and give the applicant 2 weeks to comply with the request
 - b) One week out, the assessor will send a reminder e-mail and make a phone call and remind the applicant of their deadline
 - c) Once the deadline passes, the assessor will withdraw them and the applicant can come in at any time when they are ready
 - 3) At the Assessor level during the evaluation - the assessor discovers something that is a denial ground or the documents submitted did not correct the issue ' ALL cases will move to PDF, there will no longer be a PDP process, it will go as follows:
 - a) PDF for ALL denial grounds (even PDP issues) and applicant is given the same amount of time as a normal PDF
 - b) Applicant gets a PDF phone call
 - c) If documents submitted correct the issue, great ' Approval
 - d) If documents submitted do not correct the issue, then it moves to the second phase of the PDF process
 - e) Applicant gets a SECOND PDF phone call (note deviation from the old PDF process) and they are told that they can withdraw or get a denial letter

- f) Applicant either withdraws themselves or they get a denial letter
- XIX. Attachments A and B are current process flow diagrams.
 - XX. Attachment C is the withdrawal template language.
 - XXI. Process WIs and associated required documents and forms to accomplish this process will be developed and maintained by contractor trial team members and approved by the Executive Team.
 - XXII. Note: Case Managers and Business Analysts are interchangeable.
 - XXIII. This process can and will change based on CVE Acting Director's guidance.

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